

Form PTO-1390

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

**GC381-US**

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

[please provide] **097 462846**INTERNATIONAL APPLICATION NO.  
**PCT/US98/14529**INTERNATIONAL FILING DATE  
**14 July 1998**PRIORITY DATE CLAIMED  
**15 July 1997**

## TITLE OF THE INVENTION

**Proteases from Gram-Positive Organisms**

## APPLICANT(S) FOR DOE/EO/US

David A. ESTELL, US Citizen, residing in San Mateo, California 94403, USA

Applicant herewith submits to the United States Designated/Elected Office (do/eo/us) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(I).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor/s (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

**Items 11. to 16 below concern document/s or information included:**

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A FIRST preliminary amendment
14. ☐ A SECOND or SUBSEQUENT preliminary Amendment
15. ☐ A substitute specification
16. ☒ A change of power of attorney and/or address letter
16. ☒ Other items or information.

- Copy if IPER
- Copy of Publication of the International Search Report

U.S. APPLICATION NO. (if known, see 37 CFR 1.53)

INTERNATIONAL APPLICATION NO.

ATTORNEY'S DOCKET NUMBER

[please provide]

PCT/US98/14529

GC381-US

097462846

17. ☒ The following fees are submitted:

CALCULATIONS PTO USE ONLY

**BASIC NATIONAL FEE (37 CFR 1.492(2)(1)-(5)):**

Search Report has been prepared by the EPO or JPO \$ 840

International preliminary examination fee paid to USPTO (37 CFR 1.482) \$ 96

No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(2)(2)) \$

Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(2)(2)) paid to USPTO \$

International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) \$

**ENTER APPROPRIATE BASIC FEE AMOUNT =**

\$ 936

Surcharge of \$130 for furnishing the oath or declaration later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492(4)). \$

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	
Total Claims	21	- 20 -	1	> \$18.00
Independent claims	7	- 3 =	4	> \$78.00
MULTIPLE DEPENDENT CLAIM(S) (IF APPLICABLE)				+ \$250.00

\$ 18

\$ 312

\$ 250

**TOTAL OF ABOVE CALCULATIONS =**

\$1516

Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28)

**SUBTOTAL =**

\$1516

Processing fee of \$130 for furnishing the English translation later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492(f)). \$**TOTAL NATIONAL FEE =**

\$1516

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property \$ 40

**TOTAL FEES ENCLOSED =**

\$1556

Amount to be refunded:	\$
charged:	\$

- a. ☐ A check in the amount of \$ \_\_\_\_\_ to cover the above fees is enclosed.
- b. ☒ Please charge my Deposit Account No. **07-1048** in the amount of \$1556 to cover the above fees. A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. **07-1048**. A duplicate copy of this sheet is enclosed.

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO

**Jeffery D. FRAZIER**  
 GENENCOR INTERNATIONAL, INC.  
 925 PAGE MILL ROAD  
 PALO ALTO, CALIFORNIA 94304-1013

Tel. 650-846-7555  
 Fax 650-845-6504

SIGNATURE

Jeffery D. FRAZIER  
 (printed name)

Registration Number: 34.601

09/462846  
17 JAN 2000

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
IN THE UNITED STATES DESIGNATED/ELECTED OFFICE

In re Patent Application of )  
David A. ESTELL )  
US Serial No. [please provide] )  
Based on PCT/US98/14529, filed 14 July 1998 )  
For: **Proteases from Gram-Positive** ) **TRANSMITTAL OF PATENT**  
**Organisms** ) **APPLICATION UNDER**  
 ) **35 USC 371**

I hereby certify that this paper and attachments are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicate hereunder and is addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231

15 January 2000

By: Anke E. Luttrell  
Anke E. Luttrell

BOX PCT  
Honorable Commissioner of Patents and Trademarks  
Washington, D.C. 20231

Dear Sir:

Attached, for entering the national phase of International Patent Application PCT/US98/14529, are the following documents:

1. Form PTO 1390 - Transmittal Letter to the US DO/EO/US Concerning a Filing under 35 USC 371;
2. International Patent Application PCT/US98/14529
3. International Search Report
4. Original Declaration/Power of Attorney
5. Original Assignment with Recordation Coversheet.

Respectfully submitted,

GENENCOR INTERNATIONAL, INC.

Date: \_\_\_\_\_

By: Jeffery D. FRAZIER  
Reg. No. 34,601

GC381-US

925 Page Mill Road  
Palo Alto, California 94304-1013  
650-846-7555